

06/20/01
JCS39 U.S. PTO

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06-02-01 A
PTO/SB/05 (08-00)
Approved for use through 10/31/2000. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|---------------------|--|
| Attorney Docket No. | 03528 0050 CNUS01 |
| First Inventor | Jürgen Kleinschmidt |
| Title | Method for Purifying and Concentrating AAV-2 And Antigen Portions Thereof |
| Express Mail | EL615208958US |

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents.

- 1. Fee Transmittal Form (PTC/SB/17)
(Submit an original, and a duplicate for fee processing)
- 2. Applicant claims small entity status
See: 37 CFR 1.27
- 3. Specification [Total Pages 9]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross reference to Related Applications
 - Statement Regarding Fed Sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- 4. Drawing(s) (35 U.S.C. 113) [Total Sheets 3]
- 5. Oath or Declaration [Total Pages 3]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed;
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(f)(2) and 1.33(b)
- 6. Application Data Sheet. See 37 CFR 1.76

Commissioner for Patents
ADDRESS TO:
Box Patent Application
Washington, DC 20231

- 7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- 8. Nucleotide and/or Amino Acid Sequence Submission
(* applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
- c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- 9. Assignment papers (cover sheet & document(s))
- 10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
- 11. English Translation Document (if applicable)
- 12. Information disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
- 13. Preliminary Amendment
- 14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- 15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- 16. Other: ... Preliminary Amendment; Clean Version of Amended Paragraphs; Clean Version of all Pending Claims.....

17. If a CONTINUATING APPLICATION, check appropriate box, and supply the requested information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

Continuation Divisional Continuation-in-part (CIP) of prior application No.: 09/508,037, filed June 23, 2000

Prior application information

Examiner U. Winkler

Group I Art Unit: 1648

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label 27194 or Correspondence address below

PATENT TRADEMARK OFFICE

| | | | |
|----------|----------------------------------|-----------|--------------|
| Name | Howrey Simon Arnold & White, LLP | | |
| Address | 301 Ravenswood Avenue Box 34 | | |
| City | Menlo Park | State | CA |
| Country | USA | Telephone | 650-463-8109 |
| Zip Code | 94025 | | |
| Fax | 6590-463-8109 | | |

| | | | |
|--------------------|----------------------------------|-----------------------------------|----------------|
| NAME: (Print/Type) | Albert P. Halluin, Viola T. Kung | Registration No. (Attorney/Agent) | 25,227, 41,131 |
| Signature | | Date | June 19, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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09/886144
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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$935.00)

Complete if Known

| | |
|----------------------|---------------------|
| Application Number | Not Yet Assigned |
| Filing Date | Herewith |
| First Named Inventor | Jürgen Fleinschmidt |
| Examiner Name | Not Yet Assigned |
| Group Art Unit | 1648 |
| Attorney Docket No. | 03528.0050 CNUS01 |

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Acct No: 08-3038

Deposit Account Name: Howrey Simon Arnold & White, LLP

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

- Check Credit card Money Other Order

FEE CALCULATION

1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101 | 710 | 201 | 355 | Utility filing fee | 355.00 |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1) (\$355.00)

2. EXTRA CLAIM FEES

| Total Claims | 16 | -20** = | 0 | x | 0 | = | 0 | Extra Claims | Fee from below | Fee Paid |
|--------------------|----|---------|---|---|--------|---|-----|--------------|----------------|----------|
| Independent Claims | 1 | - 3** = | 0 | x | 0 | = | 0 | | | |
| Multiple Dependent | | | | | 135.00 | = | 135 | | | |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description |
|----------------|-----------------|----------------|-----------------|--|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 270 | 204 | 135 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$135.00)

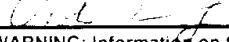
** or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

| Large Fee | Entity Fee | Small Fee | Entity Fee | Fee Description | Fee Paid |
|------------------------------------|------------|-----------|------------|---|----------|
| 105 | 140 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 60 | 127 | 15 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 140 | 139 | 100 | New Entity Specification | |
| 141* | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 115 | 55 | Extension for reply within 1st month | |
| 116 | 390 | 116 | 195 | Extension for reply within 2nd month | |
| 117 | 890 | 117 | 445 | Extension for reply within 3rd month | 445.00 |
| 118 | 1,390 | 118 | 695 | Extension for reply within 4th month | |
| 128 | 1,990 | 128 | 945 | Extension for reply within 5th month | |
| 119 | 370 | 119 | 185 | Notice of Appeal | |
| 120 | 370 | 120 | 185 | Filing a brief in support of an appeal | |
| 121 | 270 | 121 | 135 | Request for oral hearing | |
| 148 | 1,570 | 108 | 1,570 | Petition to institute a post-grant proceeding | |
| 140 | 140 | 140 | 55 | Petition to reissue - in national | |
| 141 | 1,240 | 141 | 620 | Petition to reissue - in international | |
| 142 | 1,240 | 142 | 620 | Utility issue fee (in reissue) | |
| 143 | 440 | 143 | 220 | Design issue fee | |
| 144 | 600 | 244 | 300 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt | |
| 581* | 40 | 581 | 40 | Recording each patent assignment per property, times number of properties | |
| 146 | 110 | 146 | 35.5 | Filing a submission after final rejection (37 CFR § 1.11(g)) | |
| 148 | 110 | 249 | 36.5 | For each additional invention to be examined (37 CFR § 1.12(b)) | |
| 179 | 110 | 279 | 36.5 | Request for continued examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination or a design application | |
| Other fee (specify) _____ | | | | | |
| * Reduced by Basic Filing Fee Paid | | | | | |
| SUBTOTAL (3) (\$445.00) | | | | | |

SUBMITTED BY

Completed (if applicable)

| | | | | | |
|------------------|---|---------------------------------------|---------------|------------|---------------|
| Name Print/Type: | Albert P. Hallion, Viola T. Kung | Registration No. (Attorney/Agent): | 25,227,41,131 | Telephone: | 650-463-8109 |
| Signature: |  | | | Date: | June 19, 2001 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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